

**Guidelines for appointment, career development and promotion for
Faculty in Research Titles
College of Veterinary Medicine, Cornell University
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Research Associate

1. Overview of the Research Associate Position

Appointment as Research Associate (hereinafter referred to as RA) requires the Ph.D., D.V.M. or the equivalent degree in the discipline. Candidates for degrees administered by Cornell may not be appointed as RAs until all the requirements of the degree have been completed. Appointments of RAs are made for terms of up to three years and are renewable. Appointments are subject to the availability of funds, although notice provisions for non-renewal or for early termination pertain.

RAs normally have no responsibilities for formal teaching but may participate in seminars or specialized portions of courses to an extent consistent with the terms of the funding of these positions.

2. Initial Appointment/Promotion

- Should have a Ph.D., D.V.M. or equivalent degree.
- A minimum of 3 years post-doctoral research experience.
- Initial terms of appointment are typically for 3 years, with the option for renewal.
- The appointment may be renewed indefinitely.
- General appointment requirements, such as visa status etc., may apply.
- The position is subject to the availability of funding.
- Appointments are salaried.
- Appointments are generally supported in the majority of cases by non-university funds, for example laboratory chief's grants, fellowships, service revenues.

Reappointment

- Prior to the end of the RA's appointment (or after 3 years), and after meeting with their mentors and supervisor and discussing all the career options available to them, the department chair should review the status of the RA (see timetable in Terminations and Appeals). Should they wish to continue in the position, the RA and her/his supervisor should assemble a dossier about the RA, which includes:
 - All prior annual performance reviews.
 - Supervisor's evaluation of the RA's performance in the prior term of employment.
 - Research career outline written by RA.
 - Career goals written by the RA.
 - Updated CV.
 - Draft letter of reappointment from the Chair.
- Department chair will submit material to the college administration whereupon the decision to reappoint is made.

3. Career Development and Departmental/College Support

- RAs will have mentorship according to the College Faculty Mentoring Policy. Currently, this policy (approved by the faculty, November 2007), states that the RA will have a non-supervisory “career” mentor, for ongoing and informal advice on career development, independent of job performance reviews.
- The mentor will meet with the RA annually to discuss plans for career development.
- The RA will undergo annual performance reviews with their supervisor which will consist of the following:
 - Individual self assessment (see guide forms).
 - A meeting with the supervisor.
 - An updated CV.
 - A written report by the supervisor, shared with the RA and, at the discretion of the RA, shared with the RA’s mentor(s).

Voting Rights

Voting rights at the college level are assigned according to college policy. Currently:

- RAs do not have voting rights at the college level and are not members of the voting faculty.

Professional Development Leave

- To be able to gain new outlooks on research and to enhance certain job-related skills, RAs are eligible to be granted paid leave to pursue professional development opportunities. These may include (but are not limited to) attending courses and wet laboratories to strengthen skills, or visiting another institution to learn a new research technique or to pursue professional collaborations.
- Such leaves are subject to available funding, are approved at the discretion of the Supervisor, the Department Chair and the Dean, and are subject to the ongoing academic needs of the Department, and related considerations.

4. Guidelines for Excellence

- The RA must play a major role in experimental design and implementation.
- The RA is expected to represent their laboratory in both the Cornell and external communities, for example participation in Cornell seminars, at national and international conferences.
- The RA should play a major role in communicating laboratory activities and accomplishments, i.e. in journal articles, presentation at meetings etc.
- The RA may, if commensurate with job description, play a role in mentoring students or supervising technical staff in the laboratory.
- The RA is not required to teach, but may do so if it is in line with their funding source guidelines.
- The RA is not required to write grants and/or fellowships, but may do so within Cornell policy guidelines for authorship.

Senior Research Associate

1. Overview of the Position

Holders of this title, Senior Research Associate (hereinafter referred to as SRA) are members of the research staff with a very high degree of experience and training in research. They may be appointed directly to the position or be promoted to it from the position of RA. Although they may teach courses consistent with the terms of the funding of the position, normally they do not teach. They usually have extensive contacts with graduate students and informally guide their research. SRAs are not members of the University Faculty. They are nonvoting members of their college or school faculty unless given the right to vote by the particular faculty. A SRA is normally responsible to a member of the faculty but may be principal investigator on a grant or contract.

Appointments of SRAs require a Ph.D., D.V.M. or equivalent degree in the discipline. They are made for terms of up to five years and are renewable. Appointments are subject to the availability of funds, although notice provisions for non-renewal or for early termination pertain.

2. Initial Appointment/Promotion to SRA

Appointment Requirements

- Should have a Ph.D., D.V.M. or equivalent degree.
- Must have a minimum of 5 years post-doctoral research experience.
- Initial terms of appointment are typically for 3-5 years, with the option for renewal.
- The appointment may be renewed indefinitely.
- General appointment requirements, such as visa status etc., may apply.
- The position will be subject to funding.
- Appointments must be salaried.
- Appointments must be supported in the majority by non-university funds, such as the supervisor's grants and/or fellowships.
- Requires a sustained record of research productivity.
- Requires recommendation for promotion by the College Committee for Review of Research Faculty Appointment and Promotion based on a dossier review, and approval from the Dean.
- Dossier materials for promotion are reviewed by the College Committee twice a year (March and September) and dossiers must be submitted to the Associate Dean's office by the last Monday of the month preceding review (i.e. submission in February for March review, submission in August for September review).

- Dossier to include:
 - Cover letter from the Chair of department.
 - Supporting letter from the Supervisor.
 - Research Plan or Future Service Mission and Career Goals written by the applicant.
 - Current CV.
 - A job description.
 - Examples of two or three publications
 - Three letters of evaluation from researchers in the field (not letters of support) able to assess the quality of the applicant's work. One should be internal to Cornell, the other two should be external.
 - A vote from the tenured departmental faculty, current SRA and PRS title holders, at the discretion of the Chair.
 - Any other material the candidate deems necessary.

Reappointment

- Prior to the end of the SRA's appointment, after meeting with their supervisor(s) and discussing all the career options available to them, the department chair should review the status of the SRA (see timetable in Terminations and Appeals). Should they wish to continue in the position, the SRA and supervisor should assemble a dossier about the SRA, which includes:
 - All prior annual performance reviews.
 - Letter of evaluation of the SRA from the supervisory faculty member.
 - Research career outline written by SRA.
 - Career goals written by the SRA.
 - Updated CV.
 - Draft letter of reappointment from the Chair.
- Department chair will submit material to the college administration whereupon the decision to reappoint is made.

3. Career Development and Department/College Support

- The SRA will prepare annual self assessment reports.
- The SRA will meet annually with the Department Chair (or unit Director or supervisor) to discuss their career development, progress etc. The first assessment should take place within 12 months of the initial appointment to SRA. In addition, a review should be completed 6 months prior to the end of the appointment (see timetable in Terminations and Appeals).
- The SRA should meet regularly with their mentor to discuss career development.
- SRAs will have mentorship according to the College Mentoring Policy. Currently, this policy (approved by the faculty, November 2007) states that the SRA will have a non-supervisory "career" mentor, for ongoing and informal advice on career development, independent of job performance reviews.

Voting Rights

Voting rights at the college level are assigned according to college policy. Currently:

- SRAs are invited to attend college faculty meetings but do not have voting rights at the college level. Voting rights at the departmental level are at the discretion of the Chair.

Professional Development Leave

- To be able to gain new outlooks on research and to enhance certain job-related skills, SRAs are eligible to be granted paid leave to pursue professional development opportunities. These may include (but are not limited to) attending courses and wet laboratories to strengthen skills, or visiting another institution to learn a new teaching, clinical or research technique or to pursue professional collaborations.
- Such leaves are subject to available funding, are approved at the discretion of the Supervisor, the Department Chair and the Dean and are subject to the ongoing academic needs of the Department and related considerations.

4. Guidelines for Excellence

- The SRA must play a primary role in experimental design and implementation, or service unit mission and operations, and is expected to be a program leader.
- The SRA is expected to represent their laboratory in both the Cornell and external communities, for example participation in Cornell seminars and national and international conferences.
- The SRA should play a primary role in communicating laboratory activities and accomplishments, i.e. in journal articles, presentation at meetings etc, and must be responsible for writing their own manuscripts.
- The SRA is expected play a role in mentoring students or supervising technical staff in the laboratory
- Teaching and committee service must be commensurate with funding source and Cornell guidelines.
- SRA appointees are encouraged to seek independent funding as PI within Cornell policy guidelines.
- SRAs leading core facilities or service units are expected to act in concert with the faculty overseers to address the needs of facility users and other stakeholders.

Research Scientist

1. Overview of the Position

The titles Research Scientist and Principal Research Scientist (hereinafter referred to as RS and PRS respectively) were implemented in the College of Veterinary Medicine according to the policy endorsed by the College Faculty, September 2008. (Appendix I) RSs are responsible for initiating new research activities; creating and managing research laboratories; seeking funding opportunities, submitting proposals, and fulfilling the terms of research grants and contracts; planning, conducting and reporting on original research; and representing their research groups externally. Persons appointed to these titles may serve routinely as principal investigators on grants and contracts. RSs may be appointed in academic departments or in research centers. They are not members of the University Faculty.

RSs must hold a Ph.D., D.V.M. or equivalent degree in a field appropriate to the position. To qualify for the title, RSs also are expected to have achieved significant stature in the scholarly discipline, to have demonstrated the quality of research accomplishment appropriate to initiating independent research programs, and to have demonstrated a trajectory that promises a continued high level achievement.

These titles reflect salaried positions that are subject to affirmative action regulations. Search procedures should follow those used by a department to fill professorial positions. Appointment length for research scientist may be for up to five years. There is no “time-in-title” limit or restriction on the number of times the appointment to the title may be renewed. A dossier-based review must be conducted for initial appointment.

2. Expectations and Process for Initial Appointment

- Requires a sustained record of research productivity.
- Requires significant demonstration of trajectory that promises a high level of academic achievement.
- Requires a formal search/appointment procedure by the Department similar to that for professorial faculty and approval from the Dean.
- For internal candidates, appointment requires a departmental research seminar and/or formal meetings with department faculty, and a dossier review.
- Dossier to include:
 - Cover letter from the supervising faculty member.
 - Research Plan or Future Service Mission and Career Goals written by the applicant.
 - Current CV.
 - A job description.
 - All publications.
 - At least three letters of reference from researchers in the field able to assess the quality of the applicant’s work. At least two of these should be

external to Cornell. If the candidate is internal, letters should be evaluative rather than letters written in support (e.g. by collaborators or former mentors).

- A full review and subsequent vote from the Department Faculty, including RS, PRS, SRA and professorial faculty members.
- Any other material the candidate deems necessary.
- Academic justification form for processing at Day Hall.

Appointment

The distinction between RA/SRA and RS/PRS is largely in the expectation for the RS/PRS title track to initiate new research programs and the allowance to routinely serve as PI on grant applications.

- Should have a Ph.D., D.V.M. or equivalent degree.
- Must have a minimum of 5 years post-degree work (e.g. as post-doc or RA or SRA). *There is no line of progression, or routine expectation that SRA should be promoted to RS/PRS).*
- Initial terms of appointment are typically for 3-5 years, with the option for renewal. Benefits eligibility may be affected by length and percent effort of appointment.
- The appointment may be renewed indefinitely.
- General appointment requirements, such as visa status etc., may apply.
- The position will be subject to funding.
- Appointments must be salaried.
- Appointments must be supported by non-university funds, for which the applicant is responsible.
- Appointments are subject to affirmative action/equal opportunities (AA/EEO) search requirements, unless otherwise waived by the provost.

Reappointment

- As with all academic titles, reappointment is not a right. It may be denied due to resource constraints, unreliable funding prospects, diminished interest in the research area, diminished relevance to the appointing unit's research mission or performance.
- Reappointment after 3-5 years (depending upon the term of the initial appointment) is subject to a full dossier review by department and college, to ensure expectations are being met. Review will be performed by the Dean's standing committee, College Committee for Review of Research Faculty Appointments and Promotions.
- Negative decisions are subject to college level appeal (see Terminations and Appeals).
- The reappointment letter must state that the appointment may be modified or terminated if funding is withdrawn or reduced. Appointments of RS, even on non-university funds, are subject to the provisions of the policy governing notice of non-renewal that stipulates the requirements of advanced notice.

Reappointment Procedures

- Prior to the end of the RS's appointment, after meeting with their mentor(s) and discussing all the career options available to them, the supervising faculty member should review the status of the RS (see timetable in Terminations and Appeals). Should they wish to continue in the position, the RS and supervisor should assemble a dossier about the RS, which includes:
 - All prior annual performance reviews.
 - Letter of evaluation of the RS (most likely from the supervisory faculty member).
 - Research career outline written by RS.
 - Career goals written by the RS.
 - Updated CV.
 - Draft letter of reappointment from the Chair.
- Department chair will submit material to the departmental faculty (tenured professors and those holding senior research titles, SRA and PRS) for a vote. This recommendation is forwarded to the Dean. The dossier is reviewed at the College level by the Committee for Review of Research Faculty Appointments and Promotions and a decision to reappoint is made by the Dean.

3. Career Development and Department/College Support

- The RS will prepare annual self assessment reports.
- The RS will meet annually with the Department Chair (or unit Director or supervisor) to discuss their career development, progress etc. The first assessment should take place within 12 months of the initial appointment to RS. Prior to the end of the appointment, review should be completed (see timetable in Terminations and Appeals).
- The RS should meet regularly with their supervisor to discuss progress and career development.
- RS will have mentorship according to the College Faculty Mentoring Policy.

Voting Rights

- RSs are eligible for general membership on the Graduate Faculty if their responsibilities qualify them or if their supervision of graduate students makes them eligible. General members of Graduate Faculty may serve on student special committees.
- Although the titles are academic, the RS is not a member of University Faculty and is a non-voting member of the college, but may be given the right to vote by the faculty. According to current college policy, RSs are not invited to college faculty meetings.
- The RS should be invited to attend departmental faculty meetings and to participate fully in department activities that relate to research. Participation in meetings may begin, and voting rights applied, only after dossier based review is completed.

Department and College Support

- Provisions regarding any start-up funding, facilities and support should be clearly outlined in the appointment letter.
- It is expected that the Chair, RS and Supervisor should have active discussion regarding availability of space, resources and facilities to a successful RS, to enable full departmental support for future granting activities.
- Discussions on mechanisms for bridging should be forthcoming with the faculty supervisor and Department Chair. If the RS has a good track record of funding, they should be entitled to bridge funding such as is afforded to tenured faculty.
- The appointment letter must state that the appointment may be modified or terminated if funding is withdrawn or reduced. Appointments of RS, even on non-university funds, are subject to the provisions of the policy governing notice of non-renewal that stipulates the requirements of advanced notice.

Professional Development Leave

- To be able to gain new outlooks on research and to enhance certain job-related skills, RSs are eligible to be granted paid leave to pursue professional development opportunities. These may include (but are not limited to) attending courses and wet laboratories to strengthen skills, or visiting another institution to learn a new research technique or to pursue professional collaborations.
- Such leaves are subject to available funding, are approved at the discretion of the Supervisor, the Department Chair and the Dean and are subject to the ongoing academic needs of the Department, and related considerations.

4. Guidelines for Excellence

- The RS must play a primary role in experimental design and implementation, or service unit mission and operations, and is expected to initiate and lead research.
- The RS is expected to create and manage a research lab.
- RS appointees must seek independent funding, submit proposals and fulfill the terms of research grants and contracts.
- The RS is expected to represent their laboratory in both the Cornell and external communities, for example participation in Cornell seminars and national and international conferences.
- The RS must play the primary role in communicating laboratory activities and accomplishments, i.e. in journal articles, presentation at meetings etc, and must be responsible for writing their own manuscripts.
- The RS is expected play a role in mentoring students or supervising technical staff in the laboratory.
- Teaching and committee service must be commensurate with funding source and Cornell guidelines, but are not a formal responsibility.
- RSs leading core facilities or service units are expected to act in concert with the faculty overseers to address the needs of facility users and other stakeholders.
- **The RS should demonstrate promise for a highly successful independent research career.**

Principal Research Scientist

1. Overview of the Position

PRSs are responsible for initiating new research activities; creating and managing research laboratories; seeking funding opportunities, submitting proposals, and fulfilling the terms of research grants and contracts; planning, conducting and reporting on original research; and representing their research groups externally. Persons appointed to these titles may serve routinely as principal investigators on grants and contracts. PRSs may be appointed in academic departments or in research centers. They are not members of the University Faculty.

PRSs must hold a research Ph.D., D.V.M. or equivalent degree in a field appropriate to the position. To qualify for the title, PRSs also are expected to have achieved significant stature in the scholarly discipline, to have demonstrated the quality of research accomplishment appropriate to initiating independent research programs, and to have demonstrated a trajectory that promises a continued high level achievement.

These titles reflect salaried positions that are subject to affirmative action regulations. Search procedures should follow those used by a department to fill professorial positions. Appointment length for PRSs may be for up to five years. There is no “time-in-title” limit or restriction on the number of times the appointment to the title may be renewed. A dossier-based review must be conducted for initial appointment.

2. Expectations and Process for Initial Appointment/Promotion to PRS

- Requires a sustained record of research productivity.
- Requires proven ability to lead research programs.
- Is based on productivity, quality of achievement, national and international stature in the field and the service to scientific discipline.
- Is dependent on a proven track record of receiving external grant funding.
- Initial appointment of internal or external candidates requires a formal interview process and dossier review.
- Promotion requires recommendation for promotion by the College Committee for Review of Research Faculty Appointments and Promotions based on a dossier review, and approval from the Dean.
- Dossier materials for promotion are reviewed by the College Committee twice each year (March and September). Dossiers must be submitted to the Associate Dean’s office by the last Monday of the month preceding review (i.e. submission in February for March review, submission in August for September review).
- Dossier to include:
 - Cover letter from the Chair of department.
 - Supporting letter from the Supervisor.

- Research Plan or Future Service Mission and Career Goals written by the applicant.
- Current CV.
- A job description.
- All publications.
- At least three letters of recommendation from researchers in the field able to assess the quality of the applicant's work. At least two of these should be external to Cornell. If the candidate is internal, the letters should be evaluative rather than letters written in support (e.g. by collaborators or former mentors).
- A full review and subsequent vote from the tenured faculty and PRS title holders in the department.
- A departmental research seminar and/or formal meetings with department faculty.
- Any other material the candidate deems necessary.
- *Promotion from RS to PRS is not automatic. The position classification for the promotion must be approved by the University's Academic Personnel Policy Office.*

Appointment

- Must have a Ph.D., DVM or equivalent from an internationally recognized institution.
- Must have a minimum of 5 years post-degree work (e.g. as post-doc or RA or SRA). *There is no line of progression, or routine expectation that SRA should be promoted to RS/PRS).*
- Initial terms of appointment are typically for 3-5 years, with the option for renewal.
- Benefits eligibility may be affected by length and percent effort of appointment.
- The appointment may be renewed indefinitely.
- General appointment requirements, such as visa status etc., may apply.
- The position will be subject to funding.
- Appointments must be salaried.
- Appointments are subject to affirmative action/equal opportunities (AA/EEO) search requirements, unless otherwise waived by the Provost.
- Appointments must be supported by non-university funds, which the applicant is responsible for obtaining.

Reappointment

- As with all academic titles, reappointment is not a right. It may be denied due to resource constraints, unreliable funding prospects, diminished interest in the research area, diminished relevance to the appointing unit's research mission or performance.
- Reappointment after 5 years is subject to a full dossier review by department and college, to ensure expectations are being met. College level review will be performed by the College Committee for Review of Research Faculty Appointments and Promotions.
- Negative decisions are subject to college level appeal (see timetable in Terminations and Appeals).
- The reappointment letter must state that the appointment may be modified or terminated if funding is withdrawn or reduced. Appointments of PRS, even on

non-university funds, are subject to the provisions of the policy governing notice of non-renewal that stipulates the requirements of advanced notice.

Reappointment Procedures

- Prior to the end of the PRS's appointment, the supervisor should review the status of the PRS (see timetable in Terminations and Appeals). Should they wish to continue in the position, the PRS and supervisor should assemble a dossier about the PRS, which includes:
 - All prior annual performance reviews.
 - Letter of support for the PRS (most likely from the supervisor or collaborating faculty member).
 - Chair's evaluation of the PRS's performance in the prior term of employment.
 - Draft letter of reappointment from the Chair.
 - Research career outline written by PRS.
 - Career goals written by the PRS.
 - Updated CV.
- Department chair will submit material to the tenured professorial faculty in the department for a vote, whereupon the decision to reappoint is made. The recommendation of the Department is forwarded to the Dean. The dossier is reviewed by the College Committee for Review of Research Faculty Appointments and Promotions. The decision to reappoint is made by the Dean.

3. Career Development and Department/College Support

- The PRS will prepare annual self assessment reports.
- The PRS will meet annually with the department chair (or unit Director or supervisor) to discuss their career development, progress etc. The first assessment should take place within 12 months of the initial appointment to PRS. A review should be completed 6 months prior to the end of the appointment (see timetable in Terminations and Appeals).
- The PRS should meet regularly with their supervisor to discuss career development.
- The PRS will have mentorship according to the College Faculty Mentoring Policy. Currently, this policy (approved by the faculty, November 2007) states that the PRS is encouraged to seek out a non-supervisory "career" mentor, for ongoing and informal advice on career development, independent of job performance reviews.

Voting Rights

- PRSs are eligible for general membership on the Graduate Faculty if their responsibilities qualify them or if their supervision of graduate students makes them eligible. General members of Graduate Faculty may serve on student special committees.
- PRSs are invited to college faculty meetings and are expected to vote only on issues related to their responsibilities.
- The PRS should be invited to attend departmental faculty meetings and to participate fully in department activities that relate to research. Participation in

meetings may begin, and voting rights applied, only after dossier based review is completed.

Department and College Support

- Provisions regarding any start-up funding, facilities and support should be clearly outlined in the appointment letter.
- It is expected that the Chair, PRS and supervising or collaborating faculty member should have active discussion regarding availability of space, resources and facilities to a successful PRS, to enable full departmental support for future granting activities.
- The department is required to provide the PRS with office and lab space, in line with funding achieved.
- Discussions on mechanisms for bridging should be forthcoming with the collaborative faculty member and/or Department Chair. If the PRS has a good track record of funding, they should be entitled to bridge funding such as is afforded to tenured faculty.
- The appointment letter must state that the appointment may be modified or terminated if funding is withdrawn or reduced. Appointments of PRS, even on non-university funds, are subject to the provisions of the policy governing notice of non-renewal that stipulates the requirements of advanced notice.

Professional Development Leave

- To be able to gain new outlooks on research and to enhance certain job-related skills, PRSs are eligible to be granted paid leave to pursue professional development opportunities. These may include (but are not limited to) attending courses and wet laboratories to strengthen skills, or visiting another institution to learn a new research technique or to pursue professional collaborations.
- Such leaves are subject to available funding, are approved at the discretion of the Supervisor, the Department Chair and the Dean and are subject to the ongoing academic needs of the Department, and related considerations.

4. Guidelines for Excellence

- The PRS must play a primary role in experimental design and implementation, or service unit mission and operations, and is expected to initiate and lead research.
- The PRS is expected to create and manage a research lab.
- PRS appointees must seek independent funding, submit proposals and fulfill the terms of research grants and contracts.
- The PRS is expected to represent their laboratory in both the Cornell and external communities, for example participation in Cornell seminars and national and international conferences.
- The PRS must play the primary role in communicating laboratory activities and accomplishments, i.e. in journal articles, presentation at meetings etc, and must be responsible for writing their own manuscripts.
- The PRS is expected play a role in mentoring students or supervising technical staff in the laboratory.
- Teaching and committee service must be commensurate with funding source and Cornell guidelines.

- PRSs leading core facilities or service units are expected to act in concert with the faculty overseers to address the needs of facility users and other stakeholders.
- **The PRS is expected to have achieved success in establishing a successful research career.**

Termination and Appeals

In order to complete the review process in sufficient time (estimated to be 3 months) for adequate notice of termination, the following timetable is recommended for review and reappointment.

Time in Position	Notice Required	Initiate Performance Review
< 3 years	3 months	6 months before renewal date
3-6 years	3-6 months	6-9 months before renewal date
> 6 years	6 months	9 months before renewal date

Appealing a Negative Recommendation on Contract Renewal or Promotion

Any RA, SRA, RS or PRS who is reviewed for and not recommended for reappointment or promotion by a department may appeal that decision for cause at the departmental and college levels. The candidate shall be informed of this right and the procedures for exercising it when she or he is first notified of a negative recommendation. The candidate may decline to pursue the appeals procedure at any stage. However, the appeals procedure described herein must be followed sequentially. Waiver of any stage of the appeals procedure shall cause the candidate's right to proceed further to be forfeited.

Grounds for Appealing a Negative Review

- Faulty or improper conduct of the review resulting in the recommendation not to reappoint or promote, including consideration of irrelevant factors.
- Discrimination.
- A decision so inconsistent with the evidence that it must be deemed arbitrary or capricious.

Steps in the Appeal Process

1. Within three weeks of receiving the Chair's notice of the recommendation not to renew or promote and the statement of reasons, the candidate may appeal in writing to the Chair for reconsideration of that recommendation. The candidate may address any issue he or she deems appropriate and may present new material for consideration.
2. Within two weeks of receiving the appeal, the Department Chair shall consult the departmental faculty, specifically faculty members holding senior or principal research titles and tenured faculty. The faculty will be charged with evaluating the appeal and making a subsequent recommendation within three weeks.

3. Within one week of receiving faculty input, the Chair shall notify the candidate in writing of a final decision. A copy of the Chair's letter to the candidate shall be sent to the Office of the Dean, along with a letter summarizing the department review and its final decision.
4. If, following an appeal, the Chair's recommendation remains negative, the candidate may, within one week of receiving the Chair's letter, appeal to the Dean of the College. The Dean will consult the College Committee on Promotion and Renewals in Research Titles. The Dean will review the input of the Committee and may review and base his or her decision on the entirety of the candidate's record or any part thereof deemed appropriate.
5. Within three weeks of receipt of this appeal, the Dean's decision shall be rendered to the candidate in writing and shall be final with no further appeal. A copy of the Dean's letter to the candidate shall be sent to the Department Chair and the voting members of the Department.

Non-renewal or early termination of contract

Individuals holding research titles must be given a minimum of three months notice for those with less than two years of service. Three to six months notice is required for those having completed two to six years of service. Six months notice are required for those having completed three or more years of service. The general provisions relevant to this issue can be downloaded at the following link: <http://hr.cornell.edu/policies/academic/> (see also, Letter from Office of Provost to Academic Deans – Notice Requirements for Early Termination, Non-Renewal or Reduction in Effort/Salary for Non-Tenured/Tenure Track Academic Staff (3/24/09)).

Reduction of effort/salary

The notice requirements for the reduction in effort, and a corresponding reduction in salary are in most cases less extensive than those that pertain to the non-renewal or early termination of such appointments. Two months of notice is required if the planned reduction in effort/salary does not affect benefit status. In cases in which such reduction will result in the loss of benefits for such individuals, the notice provisions for early termination or non-renewal described above should be observed. If funding, budget or other uncertainties create the possibility, but not certainty, of a reduction in effort/salary, the individual should be notified of the uncertainty, and this notification serves as sufficient notice to satisfy the notice requirements for a reduction in effort/salary.

Grievance procedures

- The College Academic Grievance Procedures provide the means whereby any member of the faculty or academic professional staff of the College who believes him or herself to be aggrieved can obtain consideration for redress of his or her grievance. Grievable matters include, but are not limited to the following: reward (salary or other benefits); academic freedom; work assignment; working conditions; discrimination; sexual harassment; and the existence of, adequacy of, and adherence to equitable grievance procedures. The General Committee of the Faculty is the College grievance committee and the grievance procedures are described in detail in a document that can be viewed on the College website <http://web.vet.cornell.edu/college/rmss/policies.cfm> or obtained from the Dean's Office. Chapter 5 of the Faculty Handbook describes expectations for College-

Level Grievance Procedures and provides a link to the relevant part of the University Policy website. College grievance procedures are not applicable to complaints with respect to appointment, reappointment and promotion, which are dealt with by a special process described elsewhere in this document. The procedures that should be followed, at the University level, when academic misconduct is thought to have occurred are described in Chapter 5 Academic Policies and Responsibilities of the Cornell Faculty Handbook.

- A grievant may also wish to consult the University Ombudsman. The ombudsman “hears complaints from any source within the university community or directed against anyone in the university exercising authority and attempts to assist in obtaining a resolution of the problem. To the extent permitted by law and consistent with other university policies, confidentiality and anonymity will be provided to any grievant who requests such protection. When appropriate, the office investigates and reports findings and conclusions without restriction other than to protect the rights of individuals. The office does not exercise powers of decision but may accept the role of arbitrator when requested to do so by parties to a dispute. Their web address is <http://ombudsman.cornell.edu/>.” See Cornell Faculty Handbook, Chapter 7, Services and Facilities.

Phased retirement

RA, SRA, RS and PRS are entitled to participate in a phased retirement program, if they so choose and meet the requirements. The program is for staff currently receiving Cornell benefits, including academic staff, and became available on March 1, 2009. The eligibility requirements are: at least, age 55 or greater; at least ten completed years of service or greater; currently working at least 30 hours per week (equivalent exempt effort) or greater to qualify. Those working less than 30 hours per week are already part-time and do not qualify for the program. More details can be found at: http://www.hr.cornell.edu/benefits/retirement/phased_staff.html

Procedures for Implementation of Research Scientist and Principal Research Scientist titles in the College of Veterinary Medicine

The summary below is extracted, in part, from the title description appended to the Resolution to Recommend Establishment of the Titles Research Scientist and Principal Research Scientist, approved by the University Faculty Committee on October 5, 2004. *Specific implementation practices in our college appear in italics.*

Research Scientist and Principal Research Scientist

These titles are intended for individuals who are expected to initiate or lead research programs and to create new knowledge at a high level of achievement in an academic area of importance to the academic department.

Specific responsibilities:

initiate or lead research activities;

create and manage research laboratories;

seek funding opportunities, submit proposals, and fulfill the terms of research grants and contracts (may serve routinely as Principal Investigator (PI) on grants and contracts);

plan, conduct and report on original research; and

represent their research groups externally.

The differences between Research Scientist and Principal Research Scientist relate to the balance in the individual's career between promise and achievement in establishing highly successful independent research programs.

Research Scientists would demonstrate promise for highly successful independent research programs.

Principal Research Scientists would be expected to have achieved success in establishing an independent research program.

Relationship of Research Scientist/Principal Research Scientist to Research Associate/Senior Research Associate

Research Associate/Senior Research Associate and Research Scientist/Principal Research Scientist titles do not share a line of progression and there is no routine expectation of promotion to Research Scientist/Principal Research Scientist from Senior Research Associate.

The distinction between Senior Research Associate and Research Scientist/Principal Research Scientist title track is largely in the expectation for the Research Scientist/Principal Research Scientist to initiate new research programs and the allowance to routinely serve as PI on grant applications. Senior Research Associates may serve as PI on projects related to their duties. Senior Research Associates are normally responsible to a member of the faculty.

Neither title track is expected to have significant formal teaching responsibilities. Any teaching must be consistent with the terms of the funding of the position.

Qualifications:

Candidates must hold a research Ph.D. degree (or foreign equivalent) from a reputable accredited institution, in a field appropriate to the position. Proof of Ph.D. conferral may be required.

In the CVM: Candidates may hold Ph.D., M.D. or D.V.M. degrees or equivalent but must have research training in a field appropriate to the position. Proof of degree conferral may be required.

Candidates are expected to have achieved significant stature in the scholarly discipline, to have demonstrated the quality of research accomplishment appropriate to initiating independent research programs, and to have demonstrated a trajectory that promises a continued high level achievement.

General appointment restrictions, such as valid visa status, may apply.

Search:

Appointments to these titles must be salaried and are subject to affirmative action/equal opportunity (AA/EEO) search requirements. Any waiver of search must be approved by the Vice Provost. Classification of a position as Research Scientist or Principal Research Scientist must be approved by the University's Academic Personnel Office prior to advertisement of the position.

Search procedures should follow those used by a department to fill professorial positions.

A dossier-based review must be conducted for initial appointment; however, through an exception approved by the department chair and the dean, the dossier-based review may be conducted during the first year, with continued appointment contingent on successful review.

This dossier shall include:

- CV
- research statement
- letters of evaluation from confidential external referees (not recommendations),
- letters from participants in current or recent research programs,
- an analytical transmittal letter with report of the departmental faculty vote,
- report of an ad hoc committee to advise the dean

The appointment must be approved by the Dean.

Appointment:

Appointments to these titles must be salaried.

Although there may be a transition period before non-university funding supports the position, appointments are expected to be supported by non-university funds.

Provisions regarding start-up funds, facilities and support should be articulated in the initial appointment letter.

In the CVM: In our College, appointments must be approved by the department faculty; allocation of start-up funds and space is the responsibility of the academic department. These may vary depending on the nature of the Research Scientist/Principal Research Scientist responsibilities (e.g. running a core facility, developing a program within the context of a larger laboratory effort, or pursuing a more independent program that functions as an integral part of department research).

Appointment length for Research Scientist and Principal Research Scientist may be for up to five years. There is no “time-in-title” limit or restriction on the number of times the appointment to either title may be renewed. Benefits eligibility may be affected by the length and percent-effort of appointment.

The offer letter must state that the appointment may be terminated or modified if funding is withdrawn or reduced. Appointments of Research Scientists and Principal Research Scientists, even on non-university funds, are subject to the provisions of the policy governing notice of non- renewal that stipulates the requirements for advance notice.

Reappointment

As for all academic titles, reappointment is not a right. Reappointment may be denied for such reasons as resource constraints, unreliable funding prospects, diminished interest in the research area, diminished relevance to the appointing unit’s research mission, or performance.

In the CVM: Reappointment after five years in either title requires a full dossier review by the department and college. These reviews are intended to ensure that the expectations and benefits of the position are being met. In our college, the college-level review of dossiers for reappointment as Research Scientist/Principal Research Scientist will be conducted by a standing committee (rather than ad hoc) comprised of three research-oriented professorial faculty, from three different departments, appointed by the dean to serve for three-year, renewable terms. This committee shall be called “Committee for review of research faculty appointments and promotions” and will also have responsibility for reviewing appointments/promotions to Senior Research Associate. Negative decisions are subject to college appeals provisions.

Reappointment letters must state that the appointment may be terminated or modified if funding is withdrawn or reduced.

Promotion:

Promotion from Research Scientist to Principal Research Scientist is based on

- quality of achievement
- productivity
- national and international stature in the field
- leadership of the independent research program
- effectiveness with colleagues and with participants in the research program
- service to the scientific discipline (e.g. participation in review of grants and manuscripts, service on editorial boards or national organizations)

Promotion is not automatic, for example, after a particular number of years in title. The position classification for the promotion must be approved by the University’s Academic Personnel Office.

A formal dossier review is required for promotion to principal research scientist following the procedure described above for reappointment.

Voting rights:

Research Scientist and Principal Research Scientist are eligible for general membership on the Graduate Faculty if their responsibilities qualify them or if supervision of graduate students makes membership on special committees appropriate; general members of the Graduate Faculty may serve on graduate students’ special committees.

Although the titles are academic and appointed in academic departments, they are not members of the University Faculty and are non-voting members of the College unless granted that right by the college.

In the CVM: Within the College of Veterinary Medicine, Principal Research Scientists shall be invited to College Faculty meetings. With respect to voting rights, they are expected to use their discretion and vote on issues related to their responsibilities. Questions of eligibility to vote on specific issues will be resolved by the Dean as presiding officer. This policy is intended to parallel that defined for Lecturers and Senior Lecturers (Faculty Minutes p. 3581, June 1995). There shall be uniformity across

departments with regard to expectations of Research Scientists and Principal Research Scientists, specifically, they shall be invited to attend department faculty meetings and to participate fully in department activities that relate to research. Participation in meetings may begin, and voting rights will be awarded, only after the dossier-based review is completed.

In the CVM: With regard to implementation of the title track in the College of Veterinary Medicine, appointments will be considered as new research scientists are recruited to the college and as specific cases arise. Individuals currently in the title Senior Research Associate will be encouraged to discuss their competitive status for application to Research Scientist/Principal Research Scientist with their PI and Department Chair. Change of title can only be made with a full dossier review and a waiver of search.

Approved by College faculty
September 4, 2008